

FADSS COMPREHENSIVE ONSITE REVIEW PROCESS

State Fiscal Year 2017

*Iowa Department of
Human Rights,
Division of Community
Action Agencies*

Introduction

The onsite review will be conducted every year and includes an evaluation of FaDSS program standards. There are 29 FaDSS program standards that will be reviewed. Program Managers will review some agencies together to assure inter-rater reliability of the onsite review process. All updates to the FaDSS Standards for FY 17 will be reviewed for compliance with the exception of standards 2, 3, 16 and the training requirement for assessment and screening tools in standard 25. During FY 17 state program reviewers will be providing technical assistance for those standards not formally reviewed.

Onsite Review

The onsite review is completed in five phases: 1) Pre-onsite; 2) First Visit; 3) Desk Review; 4) Second Visit; 5) Report and Response. An overview of each phase is provided below.

Phase 1: Pre-Onsite (*completed six weeks prior to the first visit*)

- DCAA and the grantee's FaDSS Coordinator will coordinate the dates of the onsite review. Dates should be arranged at least six weeks in advance of the first visit or as agreed upon by both parties. Formal onsite materials will be sent to agency and program leadership once dates have been confirmed. Onsite materials include:
 - A draft agenda detailing the onsite activities. DCAA will confirm the schedule once any adjustments to the draft have been made and agreed upon.
 - A summary of outcome results from the previous year.
 - One weeks prior to the first visit a list of recently exited family names (two files per FTE specialist and one file per less than a 49% FTE) for file reviews completed during Phase 3.

Phase 2: First Visit (*the visit is typically completed in one day*)

- DCAA staff will attend a program team meeting, a one-on-one supervisory meeting or both (length varies).
- Through observation of the staff meeting and/or one-on-one, DCAA staff will monitor for compliance with program standards, including standards 2, 9, 10, 22, 23, and 24. This will be documented on the supervisory and administrative review form and in the onsite report.
- DCAA will seek input from families through a home visit observation. This will be documented on the home visit observation and included in the onsite report. DCAA may request that a family focus group be conducted, if agreed upon by both parties (1 – 2 hours).
- DCAA will provide technical assistance on documentation of compliance with program and organizational standards as necessary or upon request.
- DCAA will collect exited family files for review during Phase 3, Desk Review. Exited files will be secured by state staff in accordance with Standard 29.

Phase 3: Desk Review (*timeframe will range from 1 to 3 days*)

- DCAA will complete a review of exited family files at DCAA offices. The review will monitor compliance with FaDSS standards 2 – 20 and will be documented in the FaDSS File Review form. FaDSS files will remain secure when not in use in accordance with Standard 29 of the FaDSS program standards.

- DCAA staff will review the onsite agenda with the FaDSS Coordinator and make adjustments if necessary.
- DCAA staff will review documentation of organizational standards for compliance as provided by the grantee.

Phase 4: Second Visit (this phase typically lasts 1 - 2 days and occurs approximately one month after Phase 2 or as agreed upon by both parties)

- DCAA will review documentation of families not enrolled and placed on the waiting list. This includes a review of Standard 2 (1 hour).
 - DCAA will randomly select files for families not enrolled and those placed on the waiting list according to the grantee's method of storing pre-enrollment documentation.
- DCAA will conduct a group interview of all FDS staff (1 to 1 ½ hours).
 - Management will not be present.
 - Coordinators/Supervisors that have a caseload will not be included.
 - DCAA will assess FDS knowledge and understanding of program standards. This will provide documentation of the agency's implementation of policy as well as procedures and processes used to assure compliance with program standards.
- DCAA will review personnel files and other supervisory records for compliance with standards 21, 25, 27, and 28. These standards will be reviewed for all FaDSS staff (FDS, Supervisor, Management and Support) and will be documented on the Personnel Review and the Supervisory and Administrative Review forms and will be included on the onsite report (1 hour).
- DCAA will conduct a management review with key program leadership (Coordinator and/or Supervisor; 1 to 1.5 hours).
 - DCAA will review program supervision records for Standards 21 – 23, 26 and 29.
 - DCAA will review file review any personnel findings.
 - DCAA will review program outcomes from the previous fiscal year.
 - DCAA will lead discussion on the strengths/challenges of the program.
 - DCAA and grantee will discuss the program's plans for continuous quality improvement.
 - DCAA will discuss organizational standards and corresponding reports from the agency's accrediting body. For grantees that are, following the CSBG standards, DCAA FaDSS staff will obtain organizational information from DCAA CSBF program staff.
- DCAA will meet one-on-one with specialists and their supervisor to go over family files (hour per FDS).
 - DCAA will review compliance with standards 2 – 20.
 - DCAA will discuss strengths/challenges.
 - DCAA will answer questions from FDS.
- DCAA will conduct an Exit Interview for agency and program leadership (*Program Management, Executive Director, FDS, Fiscal, Human Resources and others invited by the program*; 1 hour). The interview will include the following:
 - An overview of the onsite process.
 - A discussion of preliminary findings of the FaDSS Standards.
 - A discussion of program strengths.
 - A discussion of suggestions for enhancement.
 - A discussion of activities and procedures identified in Phase 5.

Phase 5: Report and Response

- DCAA will compile a formal report of all findings from the onsite review. This report will be completed approximately four to eight weeks after the date of the exit interview and will be sent to the agency board chair, executive director and the FaDSS Coordinator.
 - The report will provide a summary of compliance with organizational standards.
- Supporting documentation for the report will be sent to the agency's FaDSS Coordinator and will include the following:
 - The FaDSS Family File Review and Companion,
 - Supervisory and Administrative Review form,
 - Personnel Review form and
 - Home Visit Observation form.
- The agency's executive director will submit a written response to the final report, if required in the final report. Responses are required for any standards not meeting expectations and must include a plan to address those areas not meeting expectations (action plan).
- DCAA will accept the action plan or work with grantee to get the action plan approved.
- DCAA will send an acceptance letter to the grantee.
- Grantee will implement action plan.
- Approximately three months after approval DCAA will monitor to ensure that the action plan was implemented.

Review Methodology

Standards	Threshold for Compliance
1	Not applicable.
2	All non-enrollment and waiting list documentation will be combined with referral documentation from enrolled files. Seventy percent of documentation reviewed must meet the criteria for the standard in order for the standard to be met.
3-5	Seventy percent of files reviewed must meet the criteria for the standard in order for the standard to be met.
6	<ul style="list-style-type: none"> • Any breach of confidentiality (with the exception of instances such as imminent harm or the reporting of suspected child abuse) will result in an overall "needs improvement." A breach of confidentiality involves releasing confidential information without written authorization when such authorization is legally required. • Seventy percent of files reviewed must meet the technical criteria outlined in bullets 2 through 5 of the standard.
7-20	Seventy percent of files reviewed must meet the criteria for the standard in order for the standard to be met.
21-29	All documentation reviewed must meet the criteria for the standard in order for the standard to be met.
30-44	See discussion below and guidelines provided in FaDSS Organizational Standards Review Process.
All	Standards that include deadlines: if the deadline (i.e. 10 th of the month) falls on a nonworking day, the deadline is assessed as meeting the standard if completed on or before the next business day.

Documentation

Forms completed by DCAA to document standard compliance include:

Onsite Report	FaDSS Family File Review and Companion (FaDSS File Review form)
Supervisory and Administrative Review	Personnel Review for FDS, Supervisor, Management and Support
Home Visit Observation	Documentation of Staff Interviews
File Review Waiting List and Non-enrolled Form	

Review of Organizational Standards

FaDSS organizational standards will be reviewed for compliance as identified in the FaDSS Organizational Standards Review Process. These standards may include National Standards for Community Services Block Grant (CSBG), Council on Accreditation, Commission on Accreditation of Rehabilitation Facilities, Iowa Family Support Standards, and FaDSS Organizational Standards.

- During either Phase 2 or Phase 4, DCAA will arrange time to meet with agency and program leadership to discuss compliance with FaDSS organizational standards. The agency will provide documentation of the most recent review/accreditation. This documentation must include information that the organization is accredited and the timeframe for the accreditation. For agencies that identified CSBG standards FaDSS State Program Manager will obtain information from CSBG program personnel at the DCAA.

Fiscal Review

FaDSS Program Managers will confer with fiscal staff within the Department of Human Rights to review their findings from their last monitoring visit. Fiscal monitoring is done yearly. The results of those visits will be incorporated into FaDSS Onsite Report for the year (phase 4).